IN THE UNITED STATES PATENT AND TRADEMARK OFFICE (USPTO)	
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Title of Application	Application Model that Integrates the Web Experience with the Traditional Client Application Experience
Inventors/Appellants	Margaret L. GOODWIN; Mark A. Alcazar
Assignee	Microsoft Corporation
Group Art Unit	2193
Examiner	Jason D. Mitchell
Attorney Docket Number	MS1-1791US

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REPLY BRIEF

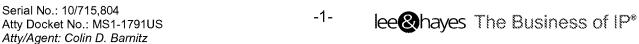This Reply Brief is provided in response to the Examiner's Answer dated

November 26, 2010.

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I. STATUS OF CLAIMS

Claims 1, 4 and 6-13 are currently pending. Claims 2, 3 and 5 have been canceled. Claims 14-23 were previously withdrawn. All of pending Claims 1, 4 and 6-13 stand rejected and have been at least twice rejected. Accordingly, the rejection of Claims 1, 4 and 6-13 is being appealed.

II. GROUNDS OF REJECTION TO BE REVIEWED ON APPEAL

The grounds of rejection to be reviewed on appeal are:

Whether Claims 1, 4 and 6-12 are obvious under 35 U.S.C. § 103(a) over Kraenzel et al. (U.S. Patent No. 6,742,026 – hereafter "Kraenzel") in view of Li et al. (U.S. Patent Application Publication No. 2003/0101445 – hereafter "Li").

Whether Claim 13 is obvious under 35 U.S.C. § 103(a) over Kraenzel in view of Li and Gamo (U.S. Patent Application Publication No. 2004/0107291 – hereafter "Gamo").

III. ARGUMENT

A. REJECTION OF CLAIMS 1, 4 and 6-12 UNDER 35 U.S.C. §103(a)

1. Rejection of Independent Claim 1 under 35 U.S.C. §103(a)

Independent Claim 1 stands rejected as being unpatentable over Kraenzel in view of Li. The rejection of Independent Claim 1 should be reversed at least because the Examiner has failed to establish a *prima facie* case of unpatentability of Independent Claim 1. As will be shown below, the Examiner has ignored express recitations of Independent Claim 1, and the Examiner has provided mere conclusory statements to attempt to meet the recitations of Independent Claim 1.

Appellant's Independent Claim 1 reads as follows (with emphasis added):

1. A computer-readable storage medium having stored thereon an application framework for developing an application, comprising:

an application object that isolates the application from other applications or external resources, raises startup and shutdown events for the application, and manages application windows and resources;

navigation components that provide navigation functionality by sharing a global state across a plurality of pages, journaling, journal extensibility, and structured navigation;

application lifecycle management components that define how the application is deployed, installed, activated, updated, rolled back, and removed from a computing system;

a secure execution environment that defines a default set of permissions for the application during execution of the application in the secure execution environment, and if the application requires permissions in addition to the default set of permissions, requiring installation of the application;

a component that defines a mechanism that allows the application to access common window properties of a hosting environment in a like manner regardless of whether the hosting environment is a browser or a standalone window environment; and

a manifest that specifies a first subset of components of the application as required, a second subset of components of the application as on-demand, and a third subset of components of the application as online, with the first, second, and third subsets of components of the application differing,

wherein the second subset of components being drizzle-downloaded in the background as a user interacts with the application, wherein when a specific component of the second subset of components is requested, the specific component takes precedence over remaining components of the second subset of components and is downloaded on-demand while the remaining components are drizzle-downloaded in the background.

a.   The combination of Kraenzel with Li fails to teach or suggest "a secure execution environment that defines a default set of permissions for the application during execution of the application in the secure execution environment, and if the application requires permissions in addition to the default set of permissions, requiring installation of the application"

In the Examiner's Answer dated November 26, 2010 (hereafter the "Examiner's Answer"), the Examiner asserts the following:

> The cited portion of Kraenzel (col. 39, lines 15-45) discloses "installing the Web application as a subscription on the local machine (client)" and that doing so allows a user to "work[] offline in a secure environment and for managing synchronization". Kraenzel further discloses that this secure environment provides permissions not available otherwise (e.g. col. 39, lines 40-44 "Opening the application offline to make changes to it ... Setting standard synchronization settings, Synchronizing the online and offline versions"). Accordingly, it should be seen that "if the application requires [these additional] permissions" the application must be installed in Kraenzel's "secure environment" (e.g. col. 39, lines 19-21 "installing the Web application as a subscription on the local machine"). Thus Kraenzel meets the claimed "if the application requires permissions in addition to the default set of permissions, requiring installation of the application".

(Examiner's Answer, pp. 11-12.)

Appellant respectfully notes that the Examiner has still failed to point to any portion of Kraenzel that teaches or suggests "a secure execution environment that defines a default set of permissions for the application during execution of the application in the secure execution environment, and if the application requires

permissions in addition to the default set of permissions, requiring installation of the application." For example, Appellant's Claim 1 includes a **secure execution environment** that **requires installation** of an application if the application needs to use permissions that are in addition to the specified default permissions allowed for execution in the secure execution environment. For example, as described in Appellant's specification at page 30, line 4, "[b]y default, [web] applications run with the default permission set 425. "The default permission set 425 is intended to allow maximum functionality without compromising security of the system" (*id*. at lines 22-23). However, if "an application requires permissions beyond the default permission set, **installation is required**" (*id*. at lines 6-7; emphasis added).

Accordingly, by requiring local installation of an application that requires additional permissions, the system may remain secure. For example, as described in Appellant's specification, at installation time, "the Trust Manager 421 evaluates the risk level of the permissions being requested, along with other factors, like whether the application 410 is signed, whether it meets logo requirements, etc., and determines an overall risk rating for the application 410" (*id*. at lines 11-14). Consequently, Appellant's Claim 1 includes a secure execution environment that enables an application to execute using a default set of permissions defined for the application. However, if the application requires permissions in addition to the default set of permissions, installation of the application is required. This way, a secure environment is maintained.

In the Examiner's Answer, the Examiner cites several different passages of Kraenzel to attempt to meet the elements of the above recitation of Appellant's Claim 1, namely, citing col. 5, lines 10-45; col. 12, lines 46-48; and col. 39, lines 15-60.

However, none of the cited portions of Kraenzel, individually or when read together teach or suggest "a secure execution environment that defines a default set of permissions for the application during execution of the application in the secure execution environment, and if the application requires permissions in addition to the default set of permissions, requiring installation of the application," as recited in Appellant's Claim 1.

The Examiner cites column 5, lines 28-45 as teaching, "a secure execution environment that defines a default set of permissions for the application during execution of the application in the secure execution environment," (Examiner's Answer, p. 11). However, for example, column 5, lines 38-40 of Kraenzel merely describes that "DOLS 62 provides a layered security model that allows flexibility *for controlling access to all or part of an application*" (emphasis added). Accordingly, this portion of Kraenzel is merely concerned with controlling user access to an application executed remotely on a server. Thus, this cited portion of Kraenzel bears little relevance to Appellant's claimed "secure execution environment that defines a default set of permissions for the application during execution of the application in the secure execution environment...." Instead, the cited portion of Kraenzel is merely concerned with controlling access to all or part of an application, not whether a secure environment defines a default set of permissions for an application. Therefore, there is no teaching or suggestion here of a secure execution environment for execution of an application, or of defining a default set of permissions for the application during execution of the application in the secure execution environment. The other cited portions of Kraenzel are similarly deficient. Accordingly, the Examiner has failed to cite any portion of

Kraenzel that teaches or suggests, "a secure execution environment that defines a default set of permissions for the application during execution of the application in the secure execution environment...," as recited in Appellant's Claim 1.

Furthermore, the Examiner cites col. 12, lines 46-48; and col. 39, lines 15-60 as teaching that "...if the application requires permissions in addition to the default set of permissions, requiring installation of the application," (Examiner's Answer, p. 11-12). However, Appellant respectfully notes that col. 39, lines 15-60, of Kraenzel merely describes the following (emphasis added):

> The end user opens a Domino Web application that the Web site developer and administrator have enabled for offline use. In the initial screen of the Web application, the user clicks a Web control that contains the words, "Go Offline." A pop-up menu appears giving the user the option of installing the Web application as a subscription on the local machine (client). A subscription includes the Domino Web application, its related databases, and subscription property settings.
>
> *If this is the first time an end user is installing a subscription, the Lotus iNotes Sync Manager utility is downloaded to the user's machine. Files needed for working offline in a secure environment and for managing synchronization are also downloaded.* The installation is seamless and nearly invisible to the end user. If download time is an issue, the end user can also use a CD to install Lotus iNotes Sync Manager. If the end user already has a Notes ID, that ID can be used; if not, a new ID can be generated.
>
> Once the download finishes, Lotus iNotes Sync Manager opens automatically on the user's machine. Lotus iNotes Sync Manager is integrated into the Windows desktop and lets the user manage multiple offline subscriptions. The tasks users can perform using Lotus iNotes Sync Manager include:

Opening the application offline to make changes to it

Opening the online Web application.

Setting standard synchronization settings.

Synchronizing the online and offline versions of the application with each other.

Referring to FIGS. 9-10 and 14-15, an end user experiences service manager 218 and application page 238. The end user experience may also utilize application-page 238 in an offline mode as is represented by line 319. *When changes have occurred in that offline mode, the user may cause periodic synchronization between online/offline versions of subscription 136 and 202 to take place through scheduled or direct commands available from the interfaces presented by web control 241 or service manager 218.* The ability to work with private subscription copy 202 reduces load on server 100, takes advantage of processing speeds and access speed of local processing by executing solely on client platform 200, and minimizes the degree of information that must traverse across interface 300 between clients 200 and server 100.

Appellant submits that the above-reproduced portion of Kraenzel also fails to teach or suggest "a secure execution environment *that defines a default set of permissions* for the application during execution of the application in the secure execution environment, *and if the application requires permissions in addition to the default set of permissions, requiring installation of the application*," as recited in Appellant's Claim 1. Instead, Kraenzel merely describes installing a subscription to an application that can be accessed both online and offline. Consequently, there is no indication anywhere in Kraenzel that the online portion of the application requires a different set of permissions than the offline portion of Kraenzel. In other words, the

Examiner is merely drawing unsubstantiated conclusions that use of the Lotus iNotes Sync Manager requires additional permissions in addition to a default set of permissions. For example, merely downloading and using a Synch Manager, such as for making changes to an application offline, as described by Kraenzel, does not teach or suggest "a default set of permissions for...the secure execution environment," or that "if the application requires permissions in addition to the default set of permissions, requiring installation of the application," as recited in Appellant's Claim 1.

Further, Appellant respectfully notes that Kraenzel specifically describes that "[w]hen changes have occurred in that offline mode, *the user may cause periodic synchronization between online/offline versions* of subscription 136 and 202 to take place..." (Kraenzel, col. 39, lines 48-51). This clearly indicates that the offline version and online version of the application are synchronized to be the same, and therefore would use the same permissions. Thus, there is no teaching or suggestion in Kraenzel that the offline version requires permissions in addition to permissions provided to the online version. In fact, there is no discussion at all in Kraenzel of permissions or of defining a default set of permissions. For example, there is no teaching or suggestion in Kraenzel that a default set of permissions are defined for an application during execution of the application in the secure execution environment. Further, there is no teaching or suggestion in Kraenzel that "if the application requires permissions in addition to the default set of permissions, requiring installation of the application."

Appellant further notes that col. 12, lines 46-48, of Kraenzel merely describes databases that "represent a collection of off-line applications with which authorized

users may interact at client 100." Thus, this portion of Kraenzel does not remedy any of the deficiencies in the other cited portions of Kraenzel discussed above.

Li merely describes subdividing programs into autonomous modules (e.g., Li, Abstract). Accordingly, Li fails to compensate for the shortcomings in Kraenzel pointed out above. Thus, Claim 1 is allowable over the combination of Kraenzel with Li and/or the other cited documents for at least this recitation.

Appellant has shown above by direct quotation that the cited portions of Kraenzel are very different on their faces from the above recitations of Appellant's Claim 1. For example, the Examiner draws the conclusion that "the application must be installed" (Examiner's Answer, p. 12), but Kraenzel clearly describes that the application is installed as part of an online/offline subscription, and there is no teaching or suggestion that the installed application requires permissions in addition to the default set of permissions. Thus, given that Appellant has shown above what Kraenzel actually recites, Appellant respectfully points out that Appellant's Application is the only objectively verifiable document of record that teaches or suggests what the Examiner purports Kraenzel to teach or suggest. From this and the express recitations of Kraenzel, as set forth above, it follows that the Examiner is inadvertently interpreting Kraenzel through the lens of Appellant's Application, which is impermissible hindsight. Thus, the Examiner's assertions regarding Kraenzel and Li as teaching the above recitation of Appellant's Claim 1 are untenable, and the cited art of record fails to establish a *prima facie* case of unpatentability for at least the foregoing reasons. Accordingly, Appellant respectfully requests that the Office withdraw the 103 rejection of Claim 1.

b.   The combination of Kraenzel with Li fails to teach or suggest "wherein the second subset of components being drizzle-downloaded in the background as a user interacts with the application, wherein when a specific component of the second subset of components is requested, the specific component takes precedence over remaining components of the second subset of components and is downloaded on-demand while the remaining components are drizzle-downloaded in the background"

In the Examiner's Answer, the Examiner asserts the following:

To adequately support the appellants' asserted interpretation, the specification would need to provide, at least, some discussion of the relative proportions of bandwidth use which constitute "taking precedence". Instead the term is left broad and is reasonably understood to include situations where the download of one component is suspended to allow a second, higher precedence, component to be downloaded. Accordingly, Li's disclosure that "the current download is suspended in operation 240 [and in] operation 242 the requested module is downloaded" (see e.g. par. [0080]) teaches the claimed limitation.

The Examiner asserts, contrary to the plain language of Applicant's claim and contrary to the clear description in Applicant's specification, that "**while the remaining components are drizzle-downloaded in the background,**" as recited in claim 1, should be interpreted to mean that the download of the remaining components is suspended. Applicant respectfully disagrees. Instead, Applicant notes that the claim language should be interpreted according to its plain meaning unless such meaning is

inconsistent with the specification (See, e.g., MPEP 2111.01). According to the above recitation of Applicant's claim 1, a second subset of components are drizzle-downloaded in the background as a user interacts with an application. "[W]hen a specific component of the second subset of components is requested, the specific component takes precedence over remaining components of the second subset of components and is downloaded on-demand while the remaining components are drizzle-downloaded in the background." Accordingly, the language of claim 1 clearly states that the specific component is downloaded on-demand "*while the remaining components are drizzle-downloaded in the background*" (emphasis added). This is plainly not the same as suspending a download. Additionally, Applicant's specification describes that "[w]hen the user requests a specific resource, e.g., by clicking a hyperlink, that resource takes precedence over the other resources that *are drizzling down in the background* and is downloaded on demand." (Applicant's Specification, page 9, lines 14-17.) Therefore, the language of the specification is not inconsistent with the language of claim 1. Consequently, per MPEP 2111.01, Applicant respectfully requests that the above recitation of claim 1 be interpreted according to its plain meaning.

Appellant respectfully notes that instead of citing prior art that actually teaches or suggests the above recitation, the Examiner is attempting to reinterpret the plain language of Applicant's claim to fit within the description of Li. This is not the proper route for establishing a *prima facie* case of obviousness. The Examiner has failed to cite any reference that teaches or suggests "...when a specific component of the second subset of components is requested, the specific component takes precedence over

remaining components of the second subset of components and is downloaded on-demand while the remaining components are drizzle-downloaded in the background." Instead, for example, the cited portion of Li describes that "if the module requested is not the module being downloaded...the current download is suspended" (par. 0060). More specifically, the downloading of a module M_3 is **suspended** such that a module M_4 may be downloaded without competing with M_3 for bandwidth (par. 0060). On the other hand, Appellant's Claim 1 recites "the specific component takes precedence over remaining components...and is downloaded on-demand **while the remaining components are drizzle-downloaded in the background**" (emphasis added). Li does not describe the module M_4 being downloaded on demand while module M_3 is downloaded in the background. Further, Li teaches away from module M_4 being downloaded on demand while module M_3 is drizzle downloaded in the background by advocating **suspending** downloading of module M_3. Accordingly, Li does not teach or suggest at least the above recitation of Appellant's Claim 1.

Kraenzel fails to compensate for the shortcomings in Li pointed out above. In view of the foregoing, Appellant respectfully asserts that Claim 1 is allowable over the combination of Kraenzel and Li.

2. Rejection of Dependent Claims 4, 6-9, 11 and 12 under 35 U.S.C. §103(a)

Dependent Claims 4, 6-9, 11 and 12 stand rejected under 35 U.S.C. § 103(a) as being unpatentable over Kraenzel in view of Li. Claims 4, 6-9, 11 and 12 depend from Independent Claim 1. As discussed above, Claim 1 is allowable over the combination

of Kraenzel and Li. Therefore, dependent Claims 4, 6-9, 11 and 12 are patentable at least because they depend from an allowable base claim.

3. Rejection of Dependent Claim 10 under 35 U.S.C. §103(a)

Dependent Claim 10 stands rejected under 35 U.S.C. § 103(a) as being unpatentable over Kraenzel in view of Li. Claim 10 includes "wherein the component that provides journaling and journal extensibility comprises a Journal object." Further, Claim 10 depends from Claim 1, which recites "navigation components that provide...journaling." Consequently, Appellant's journaling is provided by a Journal object that is a navigation component. Thus, the Journal object provides journaling as a navigation component, i.e., navigation journaling.

In the Examiner's Answer, the Examiner asserts that Kraenzel teaches Claim 10, citing col. 10, lines 52-60 of Kraenzel (Examiner's Answer, p. 16). However, the cited portion of Kraenzel merely discusses the following:

> ID policy database 114 is a highly secure collection of security policy documents 110. It is accessed by DSAPI ID generator 108 in response to a user login request on channel 307 to determine the security domain of that user and determine the correct response. Policy documents 110 are created and managed by a server administrator. Policy documents 110, in turn, may provide a pointer to ID repository database 111 to enable DSAPI ID extensions 108 to lookup the ID corresponding to the login request. ID policy data base 114 can contain sensitive information such as passwords and certification IDs that match them. These are tools normally safeguarded by administrators as the crown jewels, the keys to their security kingdom. Therefore ID policy

database 114 is implemented with a strong access control list 161 (that is, only administrators are allowed to access it).

(Kraenzel, col. 10, lines 50-65).

From a review of the cited portion of Kraenzel, and the remainder of Kraenzel, Appellant respectfully submits that the Examiner has failed to cite any portion of Kraenzel that teaches or suggests a navigation component that provides journaling, "wherein the component that provides journaling and journal extensibility comprises a Journal object," as recited in Appellant's Claim 10. Instead, the cited portion of Kraenzel merely describes an ID policy database that includes policy documents 110 that are created and managed by a server administrator (col. 10, lines 52-60). Thus, there is no teaching or suggestion of a Journal object that is a navigation component that provides journaling and journal extensibility. Li fails to remedy the shortcomings in Kraenzel pointed out above. Consequently, Appellant respectfully submits that Claim 10 is additionally allowable over the combination of Kraenzel and Li for at least this reason.

B.   REJECTION OF CLAIM 13 UNDER 35 U.S.C. §103(A)

Rejection of Dependent Claim 13 under 35 U.S.C. §103(a)

Dependent Claim 13 stands rejected under 35 U.S.C. § 103(a) as being unpatentable over Kraenzel in view of Li and Gamo. Claim 13 depends from Independent Claim 1. As discussed above, Claim 1 is allowable over Kraenzel in view of Li. Further, Gamo is cited for describing that "the cache can be used, and thus the download from the server can be partly omitted when the program is executed at the
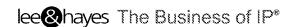
next time" (Gamo, par. 0068). However, Gamo does not cure the deficiencies of Kraenzel and Li noted above with respect to Claim 1. Therefore, dependent Claim 13 is allowable over Kraenzel in view of Li and Gamo at least due to its dependence on allowable Claim 1.

IV. <u>CONCLUSION</u>

In view of the foregoing Arguments, Appellant respectfully requests reversal of the rejections of Claims 1, 4, and 6-13, and issuance of a timely Notice of Allowance.

V. <u>FEES</u>

Fees will be paid by credit card through the EFS Web; however, Appellant hereby authorizes the Commissioner to charge any deficiency of fees and credit any overpayments, including any fees for extensions of time, to Deposit Account Number 12-0769.

Respectfully Submitted,

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